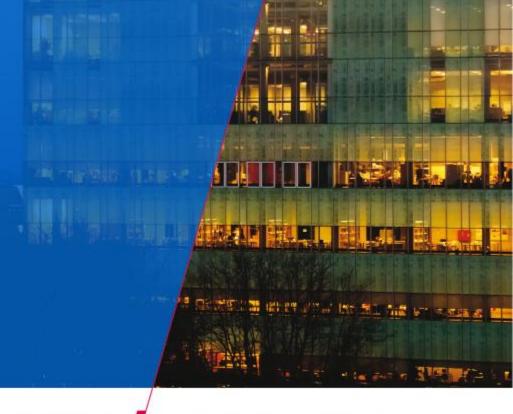
2INC0 - Operating Systems



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Interconnected Resource-aware Intelligent Systems



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Where innovation starts

Announcements



- Check the additional exercises on Canvas (in modules)
- New programming workshop next Friday (using threads, mutexes, semaphores, ...)



Course Overview



- Introduction to operating systems (locture 1)
- Processes, threads and scheduli
- Dangers of concurrency (race conditions)
- How to prove properties using traces
- Synchronization (critical sections)
- Concurrency and synchronization
 - atomicity and interference (lecture 4)
 - actions synchronization (lecture 5)
 - condition synchronization (lecture 6)
 - deadlock (lecture 7)
- File Systems (lecture 8)

- Check complex properties using topology invariants
- Use semaphores to synchronize actions and enforce new properties
- Enforce properties that cannot be checked just by counting actions
- Memory management (lectures 9+10)
- Input/output (lecture 11)



Agenda



- Condition variables
- Monitors
 - Signaling disciplines

Two complementary tools for condition synchronization



Actions synchronization



Invariant

An assertion that holds at all control points of a program

Topology invariant

- An invariant derived directly from the program code
- Examples:
 - number of times an operation is executed in comparison to another action.
 - Value of a variable based on the number of times a set of actions was executed

Actions synchronization

- Uses semaphores to synchronizes actions in different tasks to enforce new invariants (called synchronization invariants or synchronization conditions)
- Steps:
 - Name actions that may influence the synchronization condition
 - Write the synchronization condition as a function of actions counts in the form $\sum_i a_i \times cA_i \leq \sum_j b_j \times cB_j + e$ for non-negative constants a_i , b_j , and e.
 - introduce semaphore s_0 with initial value $s_0 = e$
 - replace action A_i with $P(s)^{a_i} A_i$
 - replace action B_i with $B_i V(s)^{b_j}$



Topology invariant and concurrency



```
int x := 7;
int y := 1;
int z := 6;
```

Go to menti.com and use 2438 8084

```
Task<sub>1</sub> = |[
while (true) {
    X<sub>1</sub>: x:=x+6;
    Y<sub>1</sub>: y:=2*y;
    if( x < y ){
        Z<sub>1</sub>: z++;
    }
}
```

```
Task<sub>2</sub> = |[
while (true) {
    Y<sub>2</sub>: y:=y-2;
    X<sub>2</sub>: x--;
    if( x > 8 ) {
        Z<sub>2</sub>: z--;
    }
}
```

cX = number of times action X executed

```
x = ?
```



Topology invariant and concurrency



```
int x := 7;
int y := 1;
int z := 6;
```

```
Task<sub>1</sub> = |[
while (true) {
    X<sub>1</sub>: x:=x+6;
    Y<sub>1</sub>: y:=2*y;
    if( x < y ){
        Z<sub>1</sub>: z++;
    }
}
```

```
Task<sub>2</sub> = |[
while (true) {
    Y<sub>2</sub>: y:=y-2;
    X<sub>2</sub>: x--;
    if( x > 8 ) {
        Z<sub>2</sub>: z--;
    }
}
```

cX = number of times action X executed

$$x = 7 + 6 \times X_1 - cX_2$$

Is it really correct?

No, because X1 and X2 are not atomic.

We must first protect them against race conditions



Topology invariant



```
int x := 7;
int y := 1;
int z := 6;
```

```
Task<sub>1</sub> = |[
while (true) {
    X<sub>1</sub>: <x:=x+6>;
    Y<sub>1</sub>: < y:=2*y>;
    if( x < y ){
        Z<sub>1</sub>: < z++>;
    }
}
```

```
Task<sub>2</sub> = |[
while (true) {
    Y<sub>2</sub>: < y:=y-2>;
    X<sub>2</sub>: < x-->;
    if( x > 8 ) {
        Z<sub>2</sub>: < z-->;
    }
}
```

cX = number of times action X executed

Now assume all actions are atomic:

$$x = 7 + 6 \times cX_1 - cX_2$$

$$z = ?$$



Topology invariant



```
int x := 7;
int y := 1;
int z := 6;
```

```
Task<sub>1</sub> = |[
while (true) {
    X<sub>1</sub>: <x:=x+6>;
    Y<sub>1</sub>: < y:=2*y>;
    if( x < y ){
        Z<sub>1</sub>: < z++>;
    }
}
```

```
Task<sub>2</sub> = |[
    while (true) {
        Y<sub>2</sub>: < y:=y-2>;
        X<sub>2</sub>: < x-->;
        if( x > 8 ) {
            Z<sub>2</sub>: < z-->;
        }
    }
}
```

cX = number of times action X executed

Now assume all actions are atomic:

$$x = 7 + 6 \times cX_1 - cX_2$$

$$z = 6 + cZ_1 - cZ_2$$



Actions synchronization: what can we enforce?



```
int x := 7;
int y := 1;
int z := 6;
```

Go to menti.com and use 2438 8084

```
Task<sub>1</sub> = |[
while (true) {
    X<sub>1</sub>: x:=x+6;
    Y<sub>1</sub>: y:=2*y;
    if( x < y ){
        Z<sub>1</sub>: z++;
    }
}
```

```
Task<sub>2</sub> = |[
while (true) {
    Y<sub>2</sub>: y:=y-2;
    X<sub>2</sub>: x--;
    if( x > 8 ) {
        Z<sub>2</sub>: z--;
    }
}
```

cX = number of times action X executed

Which of the synchronization invariants presented to you can be enforced with actions synchronization?



Mentimeter answers



• x>=4

Value of y cannot be derived from the number of times we execute Y1 and Y2 because of the multiplication in Y1

- y > 0
- The execution repeats the exact sequence X1 Y2 X2 Y1
- Z<X
- x>=4 and z<x
- y<x
- Y1 executes at least twice as often as Z2
- x>=4 or z<x

Using action synchronization can only check and enforce one of the two condition, and will thus not allow for minimal waiting

Green = can be enforced with actions synchronization **Red** = cannot be enforced with actions synchronization



Condition synchronization



- Condition synchronization
 - explicit communication (signalling) between tasks
 - when just counting is not enough to solve a synchronization problem
 - or to **simplify** otherwise **complex sequences of semaphore operations**, e.g., P(a); P(a); P(b); P(m);V(a); V(b);

Two principles:

Where a condition may be violated: **check** and potentially **wait** Where a condition *may have become true*: **signal** waiters



Condition synchronization: building blocks



ConditionVar cv; (often associated with a condition: a boolean expression B in terms of program variables;)

4 basic operations on variable cv.

• Wait(..., cv) suspend execution of caller

Signal(cv) free one task suspended on Wait(cv)

(void if there is none)

Sigall(cv) free <u>all</u> tasks suspended on Wait(cv)

Empty(cv) Check if "there is no task suspended on

Wait(cv)" (returns true or false)





Enforce the synchronization invariant $x \ge 0$

```
int x := 0;
```

```
Task T1

|[
    while( true ){
        z:=z+1;
        x := x + 50;
        x := 2*x;
    }

]|
```

```
Task T2

[[
    while( true ){
        x := x-10;
        y := x+3;
    }
]
```

Step 1: identify critical sections and protect them





```
mutex m := 1;
int x := 0;
```

```
Enforce the synchronization invariant x \ge 0
```

```
Task T1

|[
    while( true ){
        z:=z+1;
        lock(m);
        x := x + 50;
        x := 2*x;
        unlock(m);
    }

]|
```

```
Task T2

|[
    while( true ){
        lock(m);
        x := x-10;
        unlock(m);
        y := x+3;
    }

]|
```

Step 1: identify critical sections and protect them





```
mutex m := 1;
int x := 0;
```

Enforce the synchronization invariant $x \ge 0$

```
Task T1

|[
    while( true ){
        z:=z+1;
        lock(m);
        x := x + 50;
        x := 2*x;
        unlock(m);
    }

]|
```

```
Task T2

[[
    while( true ){
        lock(m);
        x := x-10;
        unlock(m);
        y := x+3;
    }

]
```

Step 2: identify where a condition may become false and add a guard





```
ConditionVar cv;

mutex m := 1;

int x := 0;
```

```
Task T1

[[
    while( true ){
        z:=z+1;
        lock(m);
        x := x + 50;
        x := 2*x;
        unlock(m);
    }
]
```

Enforce the synchronization invariant $x \ge 0$

```
Task T2

[[
    while( true ){
        lock(m);
        while( x<10 ){
            Wait( m, cv);
        }
        x := x-10;
        unlock(m);
        y := x+3;
    }

]
```

Step 2: identify where a condition may become false and add a guard





```
ConditionVar cv;

mutex m := 1;

int x := 0;
```

```
Task T1

|[
    while( true ){
        z:=z+1;
        lock(m);
        x := x + 50;
        x := 2*x;
        unlock(m);
    }

]|
```

Enforce the synchronization invariant $x \ge 0$

```
Task T2

|[
    while( true ){
        lock(m);
        while( x<10 ){
            Wait( m, cv);
        }
        {x>=10}
        x := x-10;
        unlock(m);
        y := x+3;
    }

]|
```

Step 3: identify where a condition may become true and signal





```
ConditionVar cv;

mutex m := 1;

int x := 0;
```

```
Task T1

|[
    while( true ){
        z:=z+1;
        lock(m);
        x := x + 50;
        x := 2*x;
        Sigall(cv);
        unlock(m);
    }

]|
```

```
Enforce the synchronization invariant x \ge 0
```





```
ConditionVar cv;

mutex m := 1;

int x := 0;
```

```
Task T1

|[
while( true ){
    z:=z+1;
    lock(m);
    x := x + 50;
    x := 2*x;
    Sigall(cv);
    unlock(m);
```

Why do we use Sigall(.) instead of Signal(.)?

```
Enforce the synchronization invariant x \ge 0
```

```
Wait(m,cv) is the short-hand notation for <unlock(m); wait(cv);> lock(m);

Must be atomic!
Otherwise, another task
```

may signal before T2 starts to wait and T2 will never wakeup

```
Task T2

[[
    while( true ){
        lock(m);
        while( x<10 ){
            Wait( m, cv);
        }
        {x>=10}
        x := x-10;
        unlock(m);
        y := x+3;
    }

]
```





```
ConditionVar cv;

mutex m := 1;

int x := 0;
```

```
Enforce the synchronization invariant x \ge 0
```

```
Task T1

|[
while( true ){
    z:=z+1;
    lock(m);
    x := x + 50;
    x := 2*x;
    Sigall(cv);
    rlock(m);
}
```

Why do we use Sigall(.) instead of Signal(.)?
More than one instance of T2 could execute their critical section for each execution of T1's critical section

```
How do we decide what to write as a guard condition?
```

```
Wait(m,cv) is the short-hand
notation for
<unlock(m); wait(cv);> lock(m);
```

```
Must be atomic!
Otherwise, another task
may signal before T2
starts to wait and T2 will
never wakeup
```

```
Task T2

|[
    while( true ){
        lock(m);
        while( x<10 ){
            Wait( m, cv);
        }
        {x>=10}
        x := x-10;
        unlock(m);
        y := x+3;
        }

]|
```



What to write as a guard condition?



- 1. Take the synchronization invariant to maintain, i.e., $x \ge 0$
- 2. Compute preconditions for the statements that might disturb the invariant, i.e.,
 x := x-10
 - → Substitute disturbing statement in the synchronization invariant

```
x-10 > 0 \Leftrightarrow x > 10
```

3. Negate the resulting condition, i.e., $!(x \ge 10)$ or equivalently (x<10)





```
int f := 5;
int w := 0;
```

```
Task S =
|[ while( true ){
    f := f-2;
    transport();
    w := w+3;
}
```

Question:

Enforce the following synchronization invariants using condition variables

- **I1:** $w \ge 0$
- **I2:** $f \ge 2 * w$

Prevent race conditions on f and w



Go to menti.com and use 2438 8084

```
int f := 5;
int w := 0;
mutex m := 1;
ConditionVar cv1, cv2;
```

```
Task T =
|[ while( true ){
    transport();

    lock(m);
    f := f+1;
    sigall(cv2);
    unlock(m);

    lock(m);
    while(...)
        wait(m, cv2);
    w := w+3;
    sigall(cv1);
    unlock(m);
}
```

```
What should
                       be the guard
                                           skS =
Task P =
                         condition?
                                            /hile( true ){
| while (true){
                                              lock(m);
     lock(m);
                                              while(...)
     while(...)
                                                 wait(m, cv2);
       wait(m, cv1);
                                              f := f-2;
     w := w-2;
                                              unlock(m);
     sigall(cv2);
     unlock(m);
                                              transport();
     produce();
                                              lock(m);
                                              while(...)
     lock(m);
                                                 wait(m, cv2);
     f := f+1:
                                              w := w + 3;
     sigall(cv2);
                                              sigall(cv1);
     unlock(m);
                                              unlock(m);
```

Question:

Enforce the following synchronization invariants using condition variables

- **I1:** $w \ge 0$
- **I2:** $f \ge 2 * w$

Prevent race conditions on f and w



Go to menti.com and use 2438 8084

```
int f := 5;
int w := 0;
mutex m := 1;
ConditionVar cv1, cv2;
```

```
Task P =
Task T =
                                        | while (true){
| while (true){
                                             lock(m);
     transport();
                                             while(w<2)
                                                wait(m, cv1);
     lock(m);
                        What should
                                             w := w-2;
     f := f+1;
                                             sigall(cv2);
     sigall(cv2);
                        be the guard
                                             unlock(m):
     unlock(m);
                         condition?
                                             produce();
     lock(m);
     while(...)
                                             lock(m);
       wait(m, cv2);
                                             f := f+1:
     w := w + 3:
                                             sigall(cv2);
     sigall(cv1);
                                             unlock(m);
     unlock(m);
```

```
Task S =
| while (true){
     lock(m);
     while(...)
        wait(m, cv2);
     f := f-2;
     unlock(m);
     transport();
     lock(m);
     while(...)
        wait(m, cv2);
     w := w + 3;
     sigall(cv1);
     unlock(m);
```

Question:

Enforce the following synchronization invariants using condition variables

- **I1:** w > 0
- **I2:** $f \ge 2 * w$

Prevent race conditions on f and w





```
int f := 5;
int w := 0;
mutex m := 1;
ConditionVar cv1, cv2;
```

```
Task T =
|[ while( true ){
    transport();

    lock(m);
    f := f+1;
    sigall(cv2);
    unlock(m);

    lock(m);
    while( w>(f-6)/2 )
        wait(m, cv2);
    w := w+3;
    sigall(cv1);
    unlock(m);
}
```

```
Task S =
|[ while( true ){
     lock(m);
     while(...)
        wait(m, cv2);
     f := f-2;
     unlock(m);
     transport();
     lock(m);
     while(...)
        wait(m, cv2);
     w := w + 3;
     sigall(cv1);
     unlock(m);
```

Question:

Enforce the following synchronization invariants using condition variables

- I1: w > 0
- **I2:** $f \ge 2 * w$

Prevent race conditions on f and w





```
int f := 5;
int w := 0;
mutex m := 1;
ConditionVar cv1, cv2;
```

```
Task T =
|[ while( true ){
    transport();

    lock(m);
    f := f+1;
    sigall(cv2);
    unlock(m);

    lock(m);
    while( w>(f-6)/2 )
        wait(m, cv2);
    w := w+3;
    sigall(cv1);
    unlock(m);
}

|
```

```
Task S =
|[ while( true ){
     lock(m);
     while(f<2*w+2)
        wait(m, cv2);
     f := f-2;
     unlock(m);
     transport();
     lock(m);
     while(w>(f-6)/2)
        wait(m, cv2);
     w := w + 3;
     sigall(cv1);
     unlock(m);
```

Question:

Enforce the following synchronization invariants using condition variables

- **I1:** w > 0
- **I2:** $f \ge 2 * w$

Prevent race conditions on f and w



Signalling strategies



- Two signalling strategies
 - Signal wakes up one waiter on cv;
 - *Sigall* wakes up all waiters on *cv*.
 - Which one to choose: Signal or Sigall?
 - Requires a careful analysis to ensure both <u>correctness</u> and <u>efficiency</u>.
 - Sigall is always correct, but often inefficient.
 - Wait(m, cv) can also be extended with a timeout mechanism
 - To recheck a condition even when there is no signal
 - May increase robustness against (programming) errors
 (e.g., signal not sent, or use of signal() instead of sigall() in the wrong situation, normally or abnormally terminated signaller, ...)



POSIX: condition variables (1003.1c)



```
pthread_cond_t cond = PTHREAD_COND_INITIALIZER;
status = pthread_cond_init (&cond, attr);
                                                 /* should return 0
                                                                           */
status = pthread_cond_destroy (&cond);
                                                 /* idem
status = pthread_cond_wait (&cond, m);
                                                 /* semaphore m is associated with
                                                  * all critical sections
                                                                          */
status = pthread_cond_timedwait (&cond, m, exp); /* exp: max. waiting time; returns
                                                  * ETIMEDOUT after exp.*/
                                                 /* signal one waiter
status = pthread_cond_signal (&cond);
status = pthread_cond_broadcast (&cond);
                                                 /* signal all waiters
                                                                            */
```



PYTHON: condition objects



```
m = threading.Lock()
cv = threading.Condition(lock=m)
```

```
cv.acquire()
while not condition_respected():
    cv.wait()
execute_critical_section()
cv.release()
```

```
cv.acquire()
do_something()
cv.notify()
cv.release()
```



PYTHON: condition objects (alternative)



cv = threading.Condition()

with cv:

cv.wait_for(condition_respected)
execute_critical_section()

with cv:

do_something()
cv.notify()



Agenda



- Condition variables
- Monitors
 - Signaling disciplines



Monitors



- A monitor is an object that contains a combination of data and operations on those data
 - Data record the state of the monitor
 - Procedures of a monitor are executed under mutual exclusion
 - At most one task can be "inside the monitor"
 - Synchronization is implemented using condition variables

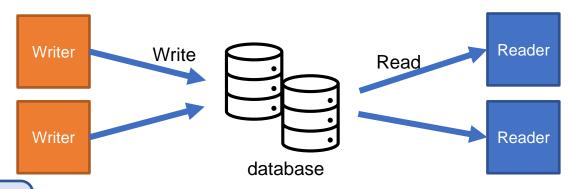
- Often used as a programming pattern rather than natively supported by OS and programming languages
 - Implemented in **Java** using the keywords *synchronize*, *wait*, and *notify*
 - Supported by Ada with protected objects

Programming language for safety-critical systems (used in avionics and space)



readers-writers problem





Why using **mutexes** or semaphores is **not a good solution**?

At any given time, we can have several readers but no writer, or one writer and no readers

```
Proc Writer =

[
while( true ){
    Write_action();
  }
]
```

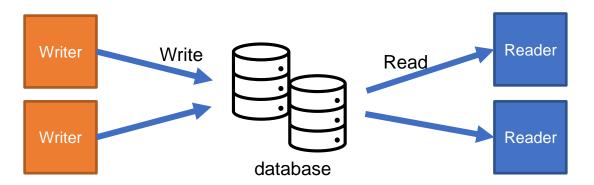
```
Proc Reader =
|[
  while( true ){
    Read_action();
  }
]/
```



readers-writers problem

Synchronization invariant to satisfy $(nr = 0 \land nw \le 1) \lor nw = 0$





At any given time, we can have several readers but no writer, or one writer and no readers

We use a **monitor** to **synchronize accesses** to the read and write actions

```
Proc Writer =

[
while( true ){
    Write_action();
  }
]
```

```
Proc Reader =
|[
  while( true ){
    Read_action();
  }
]/
```

```
Monitor MonReadWrite =

|[

int nr := 0; // number of readers reading
int nw := 0; // number of writers writing

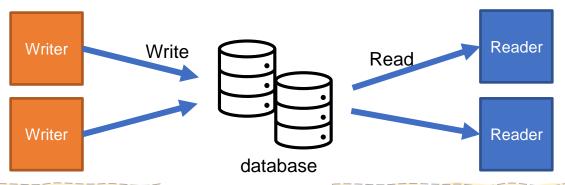
]|
```



Example: readers-writers problem

Synchronization invariant to satisfy $(nr = 0 \land nw \le 1) \lor nw = 0$





```
MonReadWrite RW;
```

```
Proc Writer =

|[
while( true ){
    RW.writeEntry();
    Write_action();
    RW.writeExit()
}
```

```
Proc Reader =
|[
  while( true ){
    RW.readEntry();
    Read_action();
    RW.readExit();
}
```

```
Monitor MonReadWrite =
|[
  int nr := 0;  // number of readers reading
  int nw := 0;  // number of writers writing
  Proc writeEntry() { nw++; }
  Proc writeExit() { nw--; }
  Proc readEntry() { nr++; }
  Proc readExit() { nr--; }
]
```

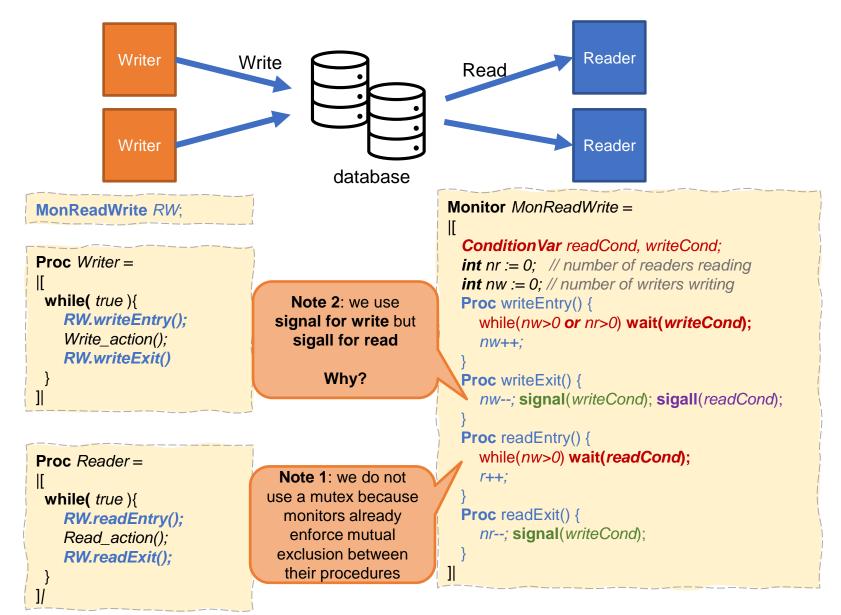
Add entry and exit protocols around the read and write actions



readers-writers problem

Synchronization invariant to satisfy $(nr = 0 \land nw \le 1) \lor nw = 0$







Example: readers-writers problem

Synchronization invariant to satisfy $(nr = 0 \land nw \le 1) \lor nw = 0$



Why did we not implement the Write_action() and Read_action() procedures in the monitor, instead of using

Entry and Exit procedures? Would limit the number of readers

Would limit the number of readers reading concurrently to one because the monitor procedures are mutually exclusive.

```
MonReadWrite RW;

Proc Writer =

[[
    while( true ){
        RW.writeEntry();
        Write_action();
        RW.writeExit()
    }
]
```

```
Proc Reader =
|[
  while( true ){
    RW.readEntry();
    Read_action();
    RW.readExit();
}
```

```
Monitor MonReadWrite =
  ConditionVar readCond, writeCond;
 int nr := 0; // number of readers reading
 int nw := 0; // number of writers writing
 Proc writeEntry() {
    while(nw>0 or nr>0) wait(writeCond);
    nw++:
 Proc writeExit() {
    nw--; signal(writeCond); sigall(readCond);
 Proc readEntry() {
    while(nw>0) wait(readCond);
    r++;
 Proc readExit() {
    nr--; signal(writeCond);
```



Implementing a monitor in Java



Java has a single implicit condition variable associated with every object

```
class MonReadWrite {
 private int nr = 0; // number of readers reading
 private int nw = 0; // number of writers writing
 public synchronized void writeEntry() {
    while(nw>0 or nr>0) {
      try{ wait(); }
      catch(InterruptedException e){}
      finally{}
    nw++;
 public synchronized void writeExit() {
    nw--; notifyAll();
 public synchronized void readEntry() {
    while(nw>0) {
      try{ wait(); }
       catch(InterruptedException e){}
      finally{}
    nr++;
 public synchronized void readExit() {
    nr--; notifyAll();
```



Agenda



- Condition variables
- Monitors
 - Signaling disciplines



Structuring by monitors



- A monitor:
 - encapsulates relevant shared variables
 - provides well-defined operations on the shared variables
- A monitor provides exclusion.
 - At most one task may be inside the monitor at any given time.

- Question: Which task is inside the monitor right after the signal?
 - The answer depends on the signalling discipline (scheduling discipline).



Scheduling/signalling disciplines



- The discipline defines what happens to the monitor upon a signal.
- Four disciplines are used in various implementations
 - signal & exit
 - signal & continue
 - signal & wait
 - signal & urgent wait
- Correctness of solution depends on signalling discipline!



Signal and Exit



- The task executing a signal exits the monitor immediately.
 - Monitor access is given to a waiter on that variable, if any.
 - Sigall is not supported
- Signalling strategy:
 - upon leaving the monitor, a task performs at most one signal on a condition variable cv that is non-empty...
 - ... and for which the corresponding condition B(cv) holds.
- Property: The condition B(cv) certainly holds after Wait().



Signal and Continue



- The task executing a signal continues to use the monitor, until a
 Wait or until the end of the routine.
 - Any task released by this signal compete with the other tasks to obtain monitor access again.
- Property: The condition may or may not hold after Wait.
- Signalling strategy:
 - during execution of a monitor routine all relevant conditions are signalled.
 - after each wait(), the condition is evaluated again.



Signal and Wait



- The task executing a signal is stopped in favour of the signalled process.
 - The **signaller waits** to access the monitor again after the *Signal*, ...
 - ... and competes with all other tasks again.
- Signalling strategy: similar to Signal & Exit.
- Property: The condition holds after Wait.



Signal and Urgent Wait



- The task executing a signal is stopped in favour of the signalled process.
 - The **signaller waits** to access the monitor again after the *Signal*, ...
 - ... but does not compete with all other tasks again.
 - Signaller has priority over other tasks.
- Signalling strategy: similar to Signal & Exit.
- Property: The condition holds after Wait.



Summary



- Limitations of actions synchronization using semaphores
 - Can only enforce invariants based on action counts
- How to synchronize tasks using condition variables
 - Using guards and signals
- Presented the notion of monitors
 - Object made of procedures and private data
 - Mutual exclusion on the execution of procedures (only one task in the monitor)
 - Condition variables can be used to enforce invariants on states reachable by the monitor

- Next week, we discuss how to detect, prevent and recover from deadlocks in more details
- I released additional exercises on condition synchronization to train yourself

